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ABSTRACT

This report on Institutional Effectiveness (IE) at South Texas Community College (STCC) analyzes the evolution of IE over a 5-year period. The report identifies four phases: (1) assessment (1996-98); (2) assessment and follow-up (1998-99); (3) unit planning (1999-2000); and (4) institutional effectiveness. The phased-in planning was instituted because of STCC's start-up status and their rapid growth, both of which necessitated a more complex assessment model. The closest academic years were developed in the most detail, while those further in the future are outlined more generally. The plans were developed through consensus of faculty, staff, and leaders in each work unit. The report also defines the plans as living documents, to be revised as needed, with a new fifth year added annually to maintain a rolling 5-year horizon. The report concludes that plans in any area of the college cannot be efficiently managed in the absence of support and cooperation from other areas, making integration of planning, budgeting, and assessment critical. The college's planning and evaluation processes are expected to evolve along with the college. Planners understand and anticipate the changes, and continue to develop and refine planning models. Contains 10 appendices. (NB)

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ED 461 392

STCC

South Texas Community College

Making It Happen:

Handbook for Planning at

South Texas Community College

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STCC
South Texas Community College

Our Commitment to Hidalgo and Starr Counties

Vision

A better quality of life for our communities

Mission

South Texas Community College (STCC) is a comprehensive public community college established to address the diverse educational and training needs of the people of Hidalgo and Starr Counties by empowering a pluralistic society of learners with the knowledge and skills necessary to enhance the quality of their lives and to promote the development of their communities.

Values

Quality

Integrity

Community

Institutional Goals

Excellence

Student Success

Regional Prosperity

Community Service

District-wide Access

STCC
South Texas Community College

INSTITUTIONAL STATEMENT OF PURPOSE

South Texas Community College seeks to achieve its institutional purpose by offering a variety of educational programs, services, and opportunities designed to:

Develop a Prepared Workforce by offering technical and vocational programs for those seeking direct career preparation and credentials suitable for employment in today's businesses and industries;

Provide Quality Academic Education by offering freshman and sophomore college courses in the arts and sciences for those pursuing associate degrees or planning to transfer to a senior institution;

Encourage Life-Long Learning by offering continuing education courses to those interested in changing careers, upgrading their skills, or seeking personal enrichment;

Facilitate Student Success by providing individualized academic advisement, personal counseling, career guidance, and other support services and, also, by offering developmental and compensatory programs that assist those needing basic skills review and reinforcement.

In the pursuit of its institutional purpose, South Texas Community College is committed to:

Maintaining an Accessible and Effective Learning Environment by encouraging and facilitating enrollment, by employing the best of traditional and innovative educational delivery systems, and by providing facilities and resources conducive to successful teaching/learning endeavors;

Fostering Leadership for Its Communities by providing individuals with curricular and extracurricular opportunities to develop leadership qualities and exercise leadership skills;

Capitalizing on the Unique Strengths of a Multi-Cultural Environment by recognizing and taking advantage of the special capabilities, insights, and opportunities that exist in a region of international interaction;

Promoting Regional Economic Growth and Prosperity by initiating and maintaining alliances with business and industry, educational institutions, government agencies, and community organizations, and by providing customized training in partnership and regional interests;

Partnering with Business and Industry to provide close linkages in order to facilitate achievement of desired outcomes and to help secure resources;

Creating a Supportive Collegial Work Environment which rewards excellence, provides opportunities for professional and personal growth, and encourages meaningful involvement in the decision-making process.

November 15, 1999.

Introduction

Planning Is Driven by the Needs of People in Hidalgo and Starr Counties

The vision of South Texas Community College (STCC) is for a better quality of life in our communities. STCC's plans are grounded in identified current and projected needs and opportunities in Starr and Hidalgo Counties, the College's service area, that are expected to lead to a better quality life. The College is committed to sound and ongoing planning processes that support its mission to the people of the service area. As part of that commitment, the College community engages in continuing planning, implementation, and assessment for improvement of quality and efficiency.

The diversity of educational needs among residents of the two-county area and the range of opportunities they pursue are the basis for the comprehensive community college curricular and programmatic offerings at the College. These, in turn, shape planning for support services, facilities and other infrastructure requirements, and the resource development necessary to the work of the College.

Continuous Quality Improvement

Consistent with good practice in higher education, the operating philosophy of the institution, and requirements of various external agencies (e.g., Texas Higher Education Coordinating Board, SACS Commission on Colleges), STCC embraces the concepts of Continuous Quality Improvement (CQI) in its planning, operational and evaluative processes. Very simple defined, CQI can be thought of as an approach to planning, execution, evaluation and the use of results to guide further planning aimed at ongoing improvement of quality in process and outcome. While such improvements may be dramatic, this approach assumes that most will be incremental. This approach to management and evaluation is reflected in:

- Board policies
- Strategic planning
- Identification of the twelve long-term intentions
- Annual reviews and updates of five-year plans
- Annual development and implementation of Institutional Effectiveness Plans
- Accountability Review process, a form of internal process review and management audit used at STCC

This planning is dynamic. Plans are refined and restated as necessary in response to

experience. STCC's plans are conceived to be used as clear guides to both intended outcomes and the processes that facilitate them, while retaining flexibility and adaptability.

Strategic Planning

Strategic planning, as practiced at STCC, involves consideration of the mission of the institution, institutional planning assumptions, and results of internal and external studies (the SWOT – Strengths, Weaknesses, Opportunities, and Threats – evaluations.) Development of specific strategies for accomplishing the long-term goals of the College include not only the broad statements (e.g., Vision, Mission, Institutional Goals, the dozen long-term intentions -- sometimes referred to as "critical issues" at STCC -- identified by the College community as a result of strategic planning) but also detailed statements of what is to be accomplished at the work-unit level.

The latter, developed annually at the work-unit level, are the unit-specific statements of intention identified as "Intended Outcomes" in each unit's Institutional Effectiveness (IE) Plan. These are developed with an eye to establishing criteria for evaluating success in meeting both local expectations and those of external agencies, such as regional and professional accrediting agencies and state and federal requirements.

Plans for action to implement STCC's strategic planning include:

- Specific descriptions of actions to be taken to execute the planned strategies
- Identification of needed resources
- Specifications of where responsibilities lie
- Timelines for their accomplishment

While STCC's strategic plans typically extend over at least three years, the accompanying timelines and assignment of responsibilities make it possible to develop annual plans that do not overwhelm the resources of individual work units.

Planning for Institutional Effectiveness

Every work unit at STCC has specific responsibility for a clearly identified portion of the College's work. Long-term goals identified in strategic plans are used as sources for the annual departmental or office IE Plans for areas of responsibility. Every organizational unit within the College

- Identifies important Intended Outcomes of its own work in support of the institutional plan
- Chooses Performance Indicators that may be expected to occur as a result of

C

success in accomplishing the Intended Outcomes

- Sets a Performance Standard – or criterion – for each indicator
- Identifies means of implementing, assessing, and reporting on results of IE Plans
- Implements its IE Plan, collects and analyzes evidence of the results of its work, and uses those findings for further planning and implementation of plans for continuous quality improvement

Following review and acceptance of IE Plans at several levels of the College, each employee is held accountable for understanding, executing, evaluating, and reporting their own work unit's IE Plan. Results of each year's work in IE are used to guide planning and implementation of further improvements, in the spirit of CQI.

While Intended Outcomes are used to guide development of IE Plans, CQI – as practiced at STCC – recognizes that actions taken by the College and its employees are the only variables under institutional control. Outcome measures are accepted as being proxies for the success of the College's planning and work. As such, they guide identification of both successful processes that may be disseminated as well as those that are not as successful as expected. Therefore, planning and assessment of Institutional Effectiveness takes into account not only levels to which Intended Outcomes are accomplished but also assessment of processes.

Resource Allocation, Planning and Assessment

Planning is the means for tying together institutional goals and resource allocation. This linkage means:

- Each department, program and office is responsible for developing plans consistent with institutional and work unit mission and goals, guided by information from strategic planning and internal assessment results
- These plans involve identification of actions to be taken to implement plans, data collection and analysis, and use of results in further improvement, as well as assignment of specific responsibility for these activities
- Budgeting involves consideration of priorities in conjunction with plans, priorities, and results of assessment

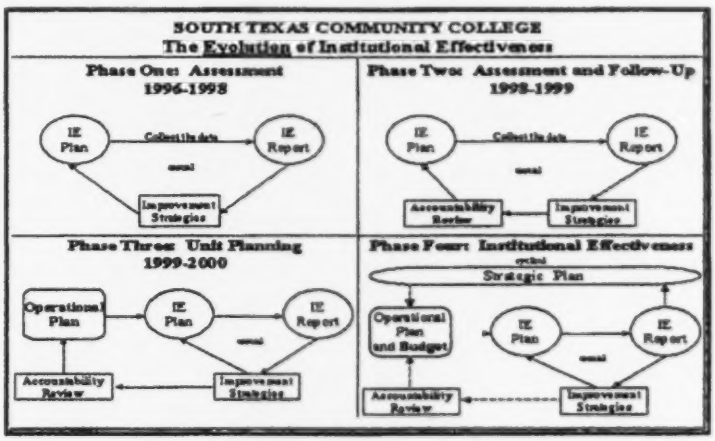
In the CQI model of operation endorsed and used by the College

- Evaluation of products and processes are integral and executed frequently
- Mission statement, goals, intended outcomes, and accreditation criteria guide the planning process and become the focus of evaluation efforts at South Texas Community College
- Evaluation is made explicit and documented by assessment of institutional effectiveness and accountability review, with results used to guide improvement

A Planned Evolution for Institutional Effectiveness (IE)

The first IE Plan aimed at fostering effectiveness in accomplishing the purposes of the College was written in 1995 and the first employee expressly responsible for developing IE was hired in 1996. As a start-up institution, STCC had an unusual opportunity to foster a culture of institutional effectiveness and implemented IE planning, reporting and use of results in continued planning for improvement from the start.

The College's initial response was to develop a plan that phased-in increasingly sophisticated processes and understandings. This suggested a five-year phase-in period, during which faculty, staff and administrators would receive extensive training and guidance in mastering the skills and mindset needed to fully develop and use STCC's sophisticated approach to IE. That initial evolutionary plan is represented graphically below.



Phased Planning: An Evolutionary Approach

STCC deliberately elected to develop its planning and assessment model in phases. There were several reasons for this decision:

- The learning curve associated with a fully elaborated and complex model is typically steep.
- As a start-up institution experiencing phenomenal growth, the amount of work to be managed limited the amount of time that could be devoted to training staff in a more complex model in early years.
- A simpler model sufficed when the institution itself was smaller and simpler.
- The curricula and programs to be offered, the function of STCC as a multi-campus district, and the extent of its mature function and staffing could not be

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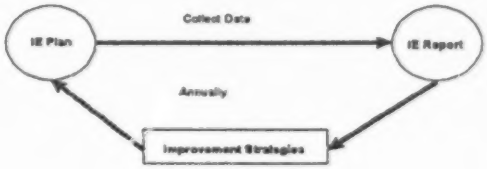
fully anticipated *a priori*.

- As leaders of a "learning organization," STCC's executive officers anticipated that the College community would learn both from its collective experiences in building the school and from interaction with their peer professionals elsewhere and, so, modest modification of plans would be needed as each phase was implemented and executed.

Phase One: Assessment

In its earliest implementation at STCC, Institutional Effectiveness (IE) at STCC followed the simplest model, depicted below.



Characteristics of this Model

- Institutional Effectiveness Plan derived directly from the Institutional Mission Statement
- Each unit of the College developed outcome statements directly reflecting objectives of the College as stated in its Mission Statement
- Institutional Effectiveness Plan construed as collective plans of units in support of institutional mission
- Outcomes of the College are the cumulation of outcomes of its individual units
- Each unit developed standards or criteria by which they would judge whether they had accomplished intended outcomes
- Specified how, when and by whom data would be collected, analyzed and reported to determine whether criteria had been met
- Upon reporting and consideration of the degree of success each unit and thus the College had, strategies for continued improvement were identified and used in creating the IE Plan for the next academic year, thus "closing the loop"

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Phase Two: Assessment and Follow-Up

The concept of accountability review was introduced as part of the IE process at STCC in Fall 1996. By academic year 1998-99, the notion of accountability was firmly entrenched in the College community and full implementation of accountability as part of the IE Process was under way.

Accountability is an integral part of the College's operations. At STCC, accountability is required in

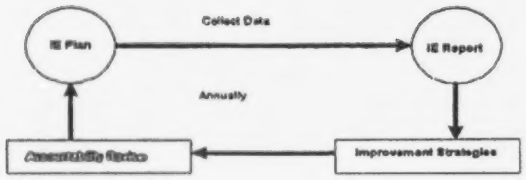
- Fiscal outcomes and processes
- Instructional outcomes and processes
- Operational outcomes and processes
- Compliance outcomes and processes
- Accreditation outcomes and processes
- Statutory outcomes and processes

In effect, the Accountability Review is an internal process audit or evaluation conducted as a

- Review of internal controls
- Way to identify areas of risk
- Means of assisting units in developing action plans
- Check on implementation of planning, assessment and improvement strategies for continuous improvement at the unit level, and thus for outcomes of the institution as a whole

As it relates to the annual Institutional Effectiveness Cycle (see below), Accountability Review is one means of ensuring that the "loop" is closed. That is, it is a check to see that not only is the IE Plan developed and implemented in each unit of the College, but also that results of data collection and analysis are reflected in development of subsequent annual IE Plans.

Phase Two of development of IE at STCC might be shown as follows, with the change highlighted in green.



Characteristics of Phase Two Development

- IE Team, a representative body (see Appendices for description of IE Team), formed to assist in the work of IE, Summer 1997

  Oversees and coordinates the development, implementation, and follow-up of STCC's Institutional Effectiveness and Accountability Plan

  Reviews and reports on the process and its results to the Planning and Development Council (PDC, see Appendices for description of PDC)

  Director of Institutional Research and Effectiveness is standing Chair

  Team meets at least once monthly and is among the more representative and active teams or committees at the College

- IE Team directs the accountability review process

- Accountability Review Subcommittee of the IE Team schedules, plans, oversees and reviews results of the Accountability Review processes.

- Assistant for Accountability, a member of the President's Office staff charged with various management evaluation and improvement responsibilities, is a member of the IE team, standing Chair of this Subcommittee, and functions as an integral part of the IE team as a content expert for audit style reviews

- Accountability Reviews are scheduled for every unit submitting an IE Plan. On behalf of the IE Team, the Accountability Review Subcommittee and its Chair

  Forward a unit-level Self-Assessment Guide (see Appendices for copy of the Guide) to the unit head, along with instructions for completing it

Meet with the unit head to clarify the documents and expectations and to review appropriate documentation

Send copies of the Accountability Review Survey (see Appendices) to every faculty or staff member of the unit, on behalf of the IE Team. These surveys and the Self-Assessment Guide assist the IE Team in collecting information necessary for planning and assessment of implementation of IE planning within each unit.

Analyze results of the Self-Assessment Guide document and the surveys

Meet with the unit head to discuss the results of the review and to clarify any concerns

Issues a written report to the IE Team

- The IE Team, through its Accountability Review Subcommittee, prepares and issues a report of recommendations and/or commendations to the unit head and requests written responses to the recommendations. These responses are incorporated with the report and forwarded to the unit head, the immediate supervisor, the appropriate Vice President, and to the President.

Six months following the Accountability Review, a second check on implementation occurs:

- Unit head is asked to respond in writing with evidence that recommendations have been appropriately addressed

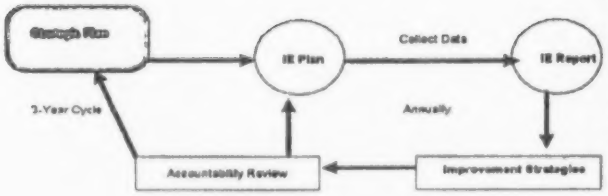
- Copies of the recommendations and responses are prepared and forwarded to the unit head, the immediate supervisor, the Accountability Review Subcommittee of the IE Team, the appropriate Vice President and to the President

- Recommendations not fully implemented at the time of the six-month follow-up are flagged for further check-up in the next Accountability Review.

Phase Three: Strategic Planning

Operational planning at the unit level was intended to be the sole development in the evolution of IE in Phase Three, planned to begin during the 1999-2000 academic year. However, the College was encouraged to engage in strategic planning and developed its initial strategic plan nearly two years earlier than originally anticipated. There have been substantial and rewarding consequences for the College as a result of this modest revision of the planned evolution of IE at STCC.

In a move that integrated the perspective of and the CQI IE, a new model was implemented (as



more fully audit accountability perspective of planning developed and follows).

Characteristics of this Model

- Accountable self-assessment melds best of evaluation and auditing
- Addresses both outcomes and use of results
- Faculty and staff control evaluation process
- Administrators obtain decision-support information
- IE team fosters and facilitates staff and faculty understanding and use of IE through training, review and facilitative activities
- Supervisors held accountable for unit performance and clearly informed about expected results
- Efficient use of institutional resources to support
- Continues to "close the loop" and check on compliance but also places annual plans in context of larger and longer-range planning activities

In this integrated strategic planning - effectiveness - accountability model, the Planning and Development Council, a representative group appointed by the President and providing support to her, is charged with:

- Conduct of strategic analysis for the College

- Development of the Strategic Plan for the institution
- Review of unit strategic planning and implementation
- Governing the modification of the Strategic Plan through a process of review and assessment midway of the Plan's expected three-year cycle
- Governing development of the Institutional Effectiveness Plan developed through the Institutional Effectiveness Team

The goal was blending of accountability and strategic planning. In this context, IE is described as

> "the implementation of institutional and department strategic plans with measurable goals individually and collectively linked to the institutional purpose. The accountability review determines whether the department successfully implemented their Unit Strategic Plan, Unit IE Plan and Improvement Strategies." (Cruz, J. Fall 1998. Institutional Effectiveness: IE Team Training. STCC.)

The expanded role of the IE Team is "oversees and coordinates the development of IE and accountability plan for STCC and conducts department assessment on behalf of PDC." (Cited above.) In this role, it guides IE and Accountability Review.

At this juncture, the institutional strategic plan was developed and unit strategic plans derived from it. These broad statements of intentions were used to extract quite specific statements of Intended Outcomes for individual units, which were operationalized with methods of assessment and standards/criteria. These were individual units' annual IE Plans. The balance of the IE Process continued to function as in Phase Two of IE Evolution at STCC.

In several instances, these Reports and Plans went through several iterations before being accepted by the IE Team membership. Each Plan was reviewed by the Team members representing its area and professional staff from the Office of Institutional Research and Effectiveness and either approved as being acceptable as written or in need of more work. Where Plans or Reports were deemed as lacking, one or members of the IE Team took the document back to the submitting unit, explained any shortcomings, and provided advice as to how to make it acceptable.

Phase Four: Integrating Planning, Assessment, and Budgeting – Spring 2000 - A.Y. 2001

STCC is moving into the next phase of its evolutionary approach to planning during Spring 2000 and the 2000-2001 academic year. During this phase, strategic planning, IE and Accountability Review, and resource planning, development and allocation are being synchronized and more closely linked.

Over the past few years, both institutional experience and review of exemplary models

of similar processes led to identification of "good practices," many of which STCC has adopted in developing Phase Four. Among characteristics considered essential for an integrated approach to planning, assessment and budgeting are those noted below. From the foregoing discussions of strategic planning, Institutional Effectiveness, and Accountability Review at STCC, it is evident that many of these were already in place at STCC.

STCC Has in Place?

(1) A Planning Process that is ✔
- Focused on the future
- Participatory
- Open to communication

(2) A Prioritizing/Budgeting/Reallocating Process that is **In progress**
- Based on established priorities related to mission and vision
- Consistent and reliable
- As simple as possible

(3) Outcomes that are ✔
- Supportive of the institution's mission and vision
- Related to institutional priorities
- Do-able

(4) A Continuous Assessment System ✔

(D. Peña. Dec. 1999. Integration of planning, budgeting, assessment, document provided to the Planning and Development Council, STCC.)

Budget Planning in Phase Four

The document cited above also delineates tasks and responsibilities for each of the essentials of an integrated approach to planning, budgeting, and assessment. One and Two (above) may be combined as follow :

Forecasting/Prioritizing/Budgeting/Reallocating*

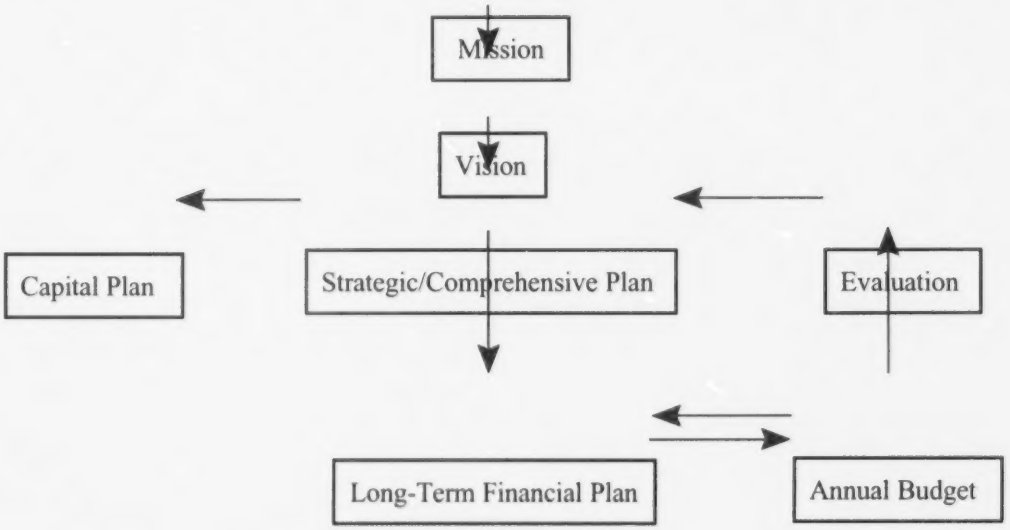
- President shares the institution's vision and mission and clarifies major strategic goals and directions
- Planning and Development Committee (PDC) provides continuous communication process
- PDC establishes institutional priorities and goals
- Departments submit budget requests in priority order
- Budget Development Committee (BDC) prepares operating budget, beginning with the current fiscal year, and reviews long range financial model
- Stakeholders discuss priorities, goals and projected resources
- PDC recommends allocation/reallocation of funds according to institutional priorities

- BDC reviews proposed budget
- PDC and BDC make necessary revisions and submit draft budget recommendations to President for further review

** Reordered and edited slightly from original*

Viewing this integration from the perspective of chief financial officer yields a diagram, or flow of activities, as follows.

Major Phases of the Budget Cycle: Connecting to the Comprehensive Plan and IE Plan



Source: D. Peña, Dec. 1999. Budget Development Information, document presented to the Budget Development Committee, STCC.

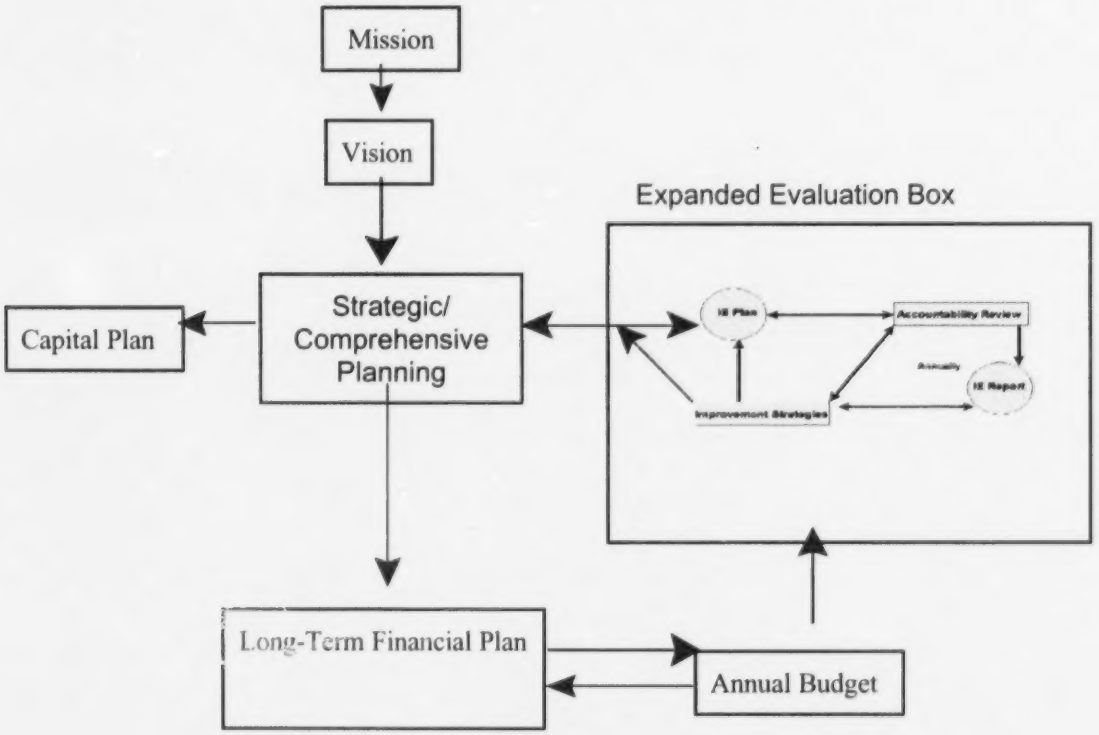
A proposed Budget Calendar for Fiscal Year 2000-2001 has been developed by the Vice President for Financial and Administrative Services and presented to the BDC and PDC for review and recommendations. See Appendices for details.

Institutional Effectiveness and Accountability Review in Phase Four

The IE and Accountability Review reports prepared by the IE Team's Accountability Review Subcommittee include assessment of the degree to which all the employees in each work unit engage in IE planning and assessment, are knowledgeable about their unit's IE Plan, and whether the results of each year's work in IE are used for continuous improvement. The IE Team as a whole sets aside time each year to discuss how well the IE process is working and to determine whether revisions are needed. One of the roles of the IE Team members is to bring forward items of concern or congratulation whenever they feel it important to do so and some time at virtually every meeting of the Team is spent in discussion of such item. All this is done in the spirit of CQI (Continuous Quality Improvement) to the IE process and its outcomes themselves.

As STCC enters Phase Four of the planned evolution of IE at the College from the simplest IE model to one that is fully elaborated and integrated, it is the consensus of the IE Team that the original Phase Four plan (see p. 5) needed modest revision. The IE and Accountability Review portion of new planning is as follows.

Major Phases of the Budget Cycle: Connecting to the Comprehensive Plan and IE Plan – Expanded Evaluation View



Characteristics of this Model

- Phases of the annual IE Cycle are reordered to
  - better align with the academic and fiscal year calendars
  - provide more opportunity for feedback and assistance within the annual IE Cycle
- Integrates planning and assessment within the budget planning model (see p. 13), as a subset of that model (IE Plan, Accountability Review, IE Report, and Improvement Strategies loop – shown above – fit within the box marked "Evaluation")

Integration with Other Planning and Assessment Activities

The Budget Development Information document suggests other assessment means. This listing reflects not only the evaluation and assessment techniques commonly used

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at STCC to determine whether units have met their IE standards, but also many of the Board-approved Institutional Performance Indicators recommended by the PDC or required by external agencies to whom the College must report. Many of these are tracked and reported by the Office of Institutional Research and Effectiveness (OIRE). Among the suggestions are:

Assessing Outcomes/Decision Making/Continuous Planning

Academic	Administrative
Peer Reviews	Audits
Surveys	Surveys
Faculty	Monthly Key-Data Reports/Summaries
Students	Recruiting Status
Boards	Operating Statements
Departmental Five-Year Plans	Auxiliary Services
Departmental Annual Reports	

(Peña, 1999, p. 4)

A recent outcome of other planning work of OIRE, with cooperation and participation of STCC's work units, is a step toward integration of planning, assessment and budgeting at STCC. During Spring and Summer 1999 all academic departments and programs, student development services, and work units reporting to the Vice Presidents for Information and Technology, Financial and Administrative Services, and Institutional Advancement

- Documented staffing, facilities, and operating, capital and travel budgets to maintain existing programming as needed to meet expected demands for each of the next five years
- Identified and prioritized new initiatives they expected to begin for each of the next five years
- Identified resource requirements needed to develop them as planned
- In many instances, identified other offices and departments whose assistance or collaboration they would need to carry out their plans, as well as the nature of help needed

Closest academic years are developed in most detail and those further in the future are outlined more generally.

These plans

- Were developed through consensus of faculty, staff and leaders in each work unit

- Approved by supervisors through the Vice Presidential level
- Are consistent with current strategic goals of the College and its individual work units
- Reflect the needs and opportunities available or anticipated in the service area
- Are living documents, to be revised as needed, with a new fifth year added annually to maintain a rolling five-year planning horizon

A further practical use of these five-year plans is facilitation of communication of expectations across intra-institutional organizational boundaries. Copies of plans were provided to all work unit heads for their review, with the expectation that inspection of others' plans would help in identifying implications for one's own work unit.

Conclusion

It is increasingly evident that plans in any area of the College cannot be efficiently managed in the absence of support and cooperation from other areas. In this complex environment, integration of planning, budgeting and assessment become ever more critical for STCC. The evolution of planning processes from a simple, though complete planning and evaluation cycle, to this more structured, elaborated and integrated model appropriately follows the evolution of STCC itself.

As the College continues to evolve, its planning and evaluation processes are expected to evolve also. College planners understand and anticipate these changes, continuing to develop and refine planning models that are dynamic and flexible enough to grow with the College yet stable and grounded enough to provide firm supports for its work.

Appendix A:
Integrated Planning, Assessment, & Budget Calendar

Proposed Budget Development Calendar, with Planning & Assessment Additions

Target Date	Planning Activity	Assessment Activity	Budget Activity	Responsibility
10/12/99		Report on 1998-99 Institutional Effectiveness & Accountability Plan Reviewed		All Units submitting 1998-99 IE&S Plans
10/12/99	IE Training			All fulltime employees IE Team OIRE
10/21/99			Preliminary approval of faculty staffing plan	President VP-Instruction
11/01/99	1999-2000 IE & A Plans Due			All work units IE team OIRE
11/02/99	Review 1999-2000 IE&A Plans			All work units IE team OIRE
11/30/99	Projected enrollments developed/ revised			OIRE
11/30/99			Begin revenue budget preparation: tuition, appropriations, taxes, other revenues	Comptroller

11/30/99	Begin staffing plan: carry forward any new staffing requirements			Director of Human Resources
Target Date	**Planning Activity**	**Assessment Activity**	**Budget Activity**	**Responsibility**
11/30/99	Current staffing plan and new staff requirements to Budget Managers			Director of Human Resources
11/30/99			Complete and forward Operating and Travel Budget Preliminary Worksheets	Budget Managers Appropriate VP
12/03/99			Budget Development Committee meeting	Members VP-Financial & Administrative Services
01/13/00		1999-2000 IE&A Plan Review Ends		IE team All work units
01/20/00			Preliminary approval of new non-faculty positions	
02/20/00	5-Year Plan Updates begin			OIRE All Units

01/21/00			Initiate documentation of revenue and expenditures for the Auxiliary Fund and Restricted Fund	Comptroller
Target Date	**Planning Activity**	**Assessment Activity**	**Budget Activity**	**Responsibility**
01/22/00	IE Orientation for adjunct faculty			OIRE IE Team Offc. Assoc. Dean for Instruction
01/24	Begin Spring IE Training Sessions			OIRE
02/04/00			Requests for new and current staff requirements forwarded to Vice Presidents and new job descriptions forwarded to Human Resources	Budget Managers
02/04/00			Review projected revenue estimates	President VP-Financial and Administrative Services Comptroller

02/04/00			Review personnel staffing and proposed salary schedule	President VPs
02/04/00			Budget process reviewed with Budget Managers	President VP-Financial & Administrative Serv ices
Target Date	**Planning Activity**	**Assessment Activity**	**Budget Activity**	**Responsibility**
02/04/00			Distribution of Capital Outlay Expenditure Justification Worksheet to Budget Managers	Director of Purchasing
02/11/00			Begin Plant funds Budgets and schedules	Comptroller Director of Facilities
02/11/00			Initiate review of department budgets	Appropriate VP
02/11/00			Forward completed Capital Expenditure Requests to Appropriate VPs	Budget Managers
02/18/00	5-Year Plan Updates due			All work units OIRE

02/25/00			Complete review of department budgets with appropriate VP	Appropriate VP
03/03/00	Updated copies of planning documents to all unit heads			OIRE
03/03/00			Initiate review of line-item budgets	President VP-Financial & Administrative Services
Target Date	**Planning Activity**	**Assessment Activity**	**Budget Activity**	**Responsibility**
03/03/00			Review of auxiliary and restricted fund budgets	President VP-Financial & Administrative Services
03/31/00			Completed departmental budgets submitted to President	Appropriate VP
04/07/00			Budget Development Committee meeting to review initial budget	Members VP-Financial & Administrative Services Comptroller

04/14/00			Complete President's review of preliminary budget, personnel requirements, facility requirements, and projected revenue	President VPs
04/14/00			Complete first draft of college budget	Comptroller
04/28/00			Review first draft of college budget	President
06/30/00			Complete final budget draft and staffing plan	President VP-Financial & Administrative Services
Target Date	**Planning Activity**	**Assessment Activity**	**Budget Activity**	**Responsibility**
07/15/00			Budget Workshop: Preliminary budget & staffing plan	President VP-Financial & Administrative Services Bd. of Trustees Comptroller

08/09/00			Budget & review with Bd. Finance Committee	President VP-Financial & Administrative Services Comptroller Members of Bd. Finance Committee
08/17/00			Budget hearing	Bd. of Trustees President VP-Financial & Administrative Services
08/17/00			Budget adoption	Bd. of Trustees
08/17/00			Tax Rate discussion	Bd. of Trustees
08/18/00		Data for assessment of 1999-2000 IE&A Plans distributed		OIRE (et al.)

Appendix B:
Accountability Self-Assessment Guide – 1998-99

Appendix C:

IE Plan and Report Forms

Appendix D:
Examples of Budget Planning Forms

Appendix E:
Planning and Development Council

The Planning and Development Council at STCC is appointed to govern the formal planning processes of the College to complete the following tasks:

- Conduct strategic analysis of the college and establish a clear understanding of the state of the institution and the environment in which it functions
- Review the institutional purpose and mission for appropriateness and propose any modifications to the President and Board of Trustees for approval
- Govern development of the Institutional Effectiveness plan developed through the Institutional Effectiveness Team and establish institutional priorities
- Develop the Strategic Plan for the institution
- Review Unit Strategic Plans developed by all departmental units of the institution
- Solicit input from all levels of the institution throughout the planning process
- Govern the implementation of the Strategic Plan at all levels
- Allocate/reallocate funds according to institutional priorities and institutional effectiveness data
- Govern the modification of the Strategic Plan through a process of review and assessment midway through the cycle
- Ensure institutional compliance with accreditation criteria in the planning process
- Establish standards and monitor achievement of performance indicators

<u>Membership and representation</u>

21 members are appointed by the President to represent the various constituencies of the institution, as follow:

President (Chair)
VP - Finance & Administrative Services
VP - Instructional Services
VP - Student Services and Development
VP - Information & Technology Services
VP - Institutional Advancement
Associate Dean, Instruction
Associate Dean, Enrollment Services
Associate Dean, Student Success
President, Faculty Senate
President, Student Government

Division Directors
- Business
- Developmental Studies
- Nursing & Allied Health
- Technology
- Communication, Arts & Humanities
- Math and Sciences
- Social & Behavioral Sciences
- Continuing Education

Director, Institutional Research & Effectiveness
Director, Partnership for Business & Industry Training
Director, Resource Development

Appendix F:
Budget Development Committee

The purpose of the Budget Development committee is to assist in planning and developing the institution's budget for each fiscal year. In accomplishing this task, the committee will:

- Plan and approve the budget development calendar
- Review the projected revenues
- Review needs for new programs based on priorities
- Review budget expenditure allocations
- Provide input on budget plan and budget request forms.

Membership representation:

VP - Finance & Administrative Services (Chair)
Comptroller
VP - Instruction
VP - Information & Technology Services
Associate Dean, Student Development
Director Human Resources
Director, Institutional Research & Effectiveness
Budget Specialist
Division Directors (2)
Faculty Representatives (3)
Staff Representatives (2)

Appendix G:
IE Team

The Institutional Effectiveness (IE) Team is established by the President of the College to (1) support the Planning and Development Council's implementation of the Strategic Plan, (2) ensure development and implementation of Institutional Effectiveness Plans, (3) facilitate the continuous improvement process through data collection and accountability review, and thereby (4) comply with the institutional effectiveness and accountability guidelines of the accrediting and governing agencies.

Membership representation

The IE Team is composed of representatives of each functional area of the institution:

- Office of the President
- Partnership for Business and Industry
- Planning and Development Council
- Each of the 7 academic Divisions
- Student Success Services
- Enrollment Services
- Purchasing and Business
- Human Resources
- Physical Resources
- Learning Resources
- Technical Services
- Research and Effectiveness Services
- Institutional Advancement

Each area has a voting member and an alternate.

Ex officio members include

- Director, Office of Accreditation
- Director, Office of Accountability
- VP - Information and Technology Services

Appendix H:
Office of Institutional Research and Effectiveness

Mission Statement:

The Office of Institutional Research and Effectiveness (OIRE) helps College administrators, faculty, and staff make informed decisions by examining and reporting the College's performance and effectiveness. OIRE is also responsible for coordinating and facilitating the planning, evaluation and effectiveness initiatives throughout the College.

Appendix I:
Office of Accountability

The Office of Accountability will assist STCC departments, programs, units and offices in enhancing program and operational efficiency and effectiveness through the process of self-assessment by facilitating accountability reviews, internal controls analysis, procedure documentation, and organizational development to create a productive learning and working environment.

Appendix J:
STCC Organizational Charts – Positional & Functional